

14 FAH-5 H-1000 INSPECTIONS

14 FAH-5 H-1010 INSPECTION GUIDANCE

(CT:DPO-1; 11-14-2013)
(Office of Origin: A/LM)

14 FAH-5 H-1011 DPO INSPECTIONS

(CT:DPO-1; 11-14-2013)

- a. Diplomatic Post Officers (DPOs) must be inspected periodically to determine if they are performing their mission in an effective and efficient manner per established laws, regulations, and United States Postal Service (USPS) and State regulatory documents. Inspections will also measure the activities responsiveness to problem areas, and corrective action taken on previously noted irregularities and deficiencies.
- b. Postal Officers should be actively engaged in the daily operation and follow a checklist tailored to their operation. (see 14 FAH-5 Exhibit H-1011, INSPECTION CHECKLIST). Post Category and local factors should determine inspection frequency.
- c. Focus inspections equally on three primary functional areas, with the scope of the inspection covering all aspects of each functional area which are divided up by specific Automated Military Postal System (AMPS) Modules/Tabs. Postal Officer should at a minimum log in to AMPS weekly. The three primary inspection areas are:
 - Transportation
 - Operations
 - Service

14 FAH-5 H-1012 AUTHORIZED INSPECTORS

(CT:DPO-1; 11-14-2013)

- a. The Department or designated representatives will inspect assigned DPOs annually. The Office of Diplomatic Pouch and Mail (DPM) recognized regional experts should be strongly considered to supplement United States Postal Inspector Service (USPIS) and/or OIG teams when DPM is unable to provide

resources to assist.

- b. Whenever one of the authorized agencies listed below conducts an inspection, the inspection will satisfy the annual inspection requirement. Authorized agencies for this are:
 - The United States Postal Service (USPS)
 - The Department's Office of the Inspector General (OIG)
 - The Department auditors
- c. The U.S. Postal Inspectors may inspect DPOs upon request. Check for proper identification before allowing inspection personnel access to mail handling areas.
- d. Documentation:
 - (1) The DPO being inspected must keep a copy of inspection reports on file for 3 years;
 - (2) The DPO Postal Officer must respond in writing to deficiencies noted during the inspection in writing to the inspecting activity, and DPM, and maintain a copy of the response on file at the DPO; and
 - (3) DPM will provide biannual or quarter score cards for DPOs, frequency will be determined by post category, housekeeping and open compliance concerns.

14 FAH-5 H-1013 THROUGH H-1019 UNASSIGNED

14 FAH-5 Exhibit H-1011

Inspection Checklist

(CT:DPO-1; 11-14-2013)

- a. This checklist serves as a general guideline for conducting DPO inspections; it is neither all inclusive nor all exclusive. Each location operates within the parameters of their facility, management, and host nation.
- b. Provide a detailed narrative of deficiencies discovered during the inspection. Prepare it in memorandum format, addressed to the Postal Officer and an information copy provided to DPM.
- c. Corrective action to all deficiencies will also be addressed in writing by the Postal Officer to the inspector and DPM.
- d. Recurring annual deficiencies will result in an automatic failure of the inspection. Other factors which will result in an automatic failure are loss of mail (incoming or outgoing mail), lack of reporting lost mail, and loss of accountable mail.

ADMINISTRATIVE

- Are the Postal Officer and DPO personnel appointed in writing?
- Does postal officer conduct quarterly inspections of the DPO?
- Are the results of the inspections on file at the DPO for 2 years?
- Are individual AMPS accounts for DPO personnel active?
- Are DPO personnel proficient in their use of AMPS?
- Are DPO Standard Operating Procedures (SOPs) on-hand and up-to-date?
- Is the customer lobby area well organized and stocked with necessary supplies?
- Are all necessary forms available to customers?
- Are all required publications on-hand and/or accessible?
- Have DPO clerks been trained? Is there a record of training?
- Has post requested formal training and allocated funding?
- Has there been training by someone outside post? Who? When? What did the training consist of?

RECEIVING AND PROCESSING MAIL

Receiving Mail:

- Is incoming mail being received in accordance with 14 FAH-5 H-410?
- Are DPO clerks following-up on pieces listed on the AV-7 but not received in accordance with 14 FAH-5 H-412?

- Are discrepancies on incoming mail reported to DPM in a timely manner (within 72 hours) by submitting a "Missing Mail Report" to the DPO-Answerperson@state.com e mail address?

MAIL DELIVERY

Assignment of Individual Mail Receptacles:

- Are receptacles for authorized users' (sponsor) exclusive use?
- Are receptacles issued to official or quasi-official activities? Is DPM approval on file?
- Is the method for issuing and closing out receptacles in the SOP?
- Are procedures for lost mailbox keys outlined in the SOP?
- Is the vendor for spare parts identified in the SOP?
- Are there spare locks and keys to replace broken mail box locks?
- Are there receptacles with excessive mail accumulation, old mail (over 30 days old without mail holding instructions on file), or unassigned boxes with mail in accordance with 14 FAH-5 H-313?
- Are mailboxes used only to place matter bearing postage, official postal notices, or other matter authorized by USPS or DPM in mail delivery receptacles?
- Is there a procedure in place for delivering non-accountable articles that are too large to fit in a receptacle, store them for easy retrieval?
- Is the DPO maintaining records of personnel requesting temporary disposition instructions for mail delivery (TDY, leave, etc)?
- Are proper records maintained for delivering accountable mail to authorized agents in accordance with 14 FAH-5 H-421.2-2?

Temporary Delivery of Mail without Receptacles (if applicable):

- Are procedures outlined in 14 FAH-5 H-312 for delivery of mail without receptacles being followed?
- Is there an estimated date for arrival of individual mail lockboxes? (purchase order, etc.)
- Are "authorized agents" for mail pick-up appointed?

ACCOUNTABLE MAIL

Product Tracking Service (PTS):

- Are barcoded special services (e.g. Express Mail (if available), Insured Mail Over \$200, Insured Mail Under \$200, Certified Mail, Return Receipt for Merchandise and Delivery Confirmation) being uploaded into AMPS in accordance with 14 FAH-5 H-421.2-2?
- Delivery of Accountable Mail:

Is Accountable Mail (Insured Over \$200, Certified) being delivered to customers using Form PS-3849?

- Are all Form PS-3849 signed by the addressee or authorized agent?
- Are there any accountable mail pieces missing, or missing signatures?
- Are Form PS-3849 filed numerically and annually by the last two digits of the identifying article number, and retained for 2 years?

For Department disposition instructions see: U.S. Department of State Records Disposition Schedules

DIRECTORY MAIL service:

- Is the DPO postal directory arranged alphabetically, by last name, in one file?
- Are the entitled-to-service family member's first name and middle initial, and, when differing from the sponsor, the last name annotated?
- Is a separate record maintained for each family member if a sponsor has family members with a different last name? Are both files cross-referenced?
- Does postal directory information for departed personnel include the date departed, purge date, forwarding address, and a projected reporting (arrival) date?
- Is mail being directorized properly in accordance with 14 FAH-5 H-430?
- Are directory mail pieces being date stamped on the reverse side on the day they are processed?
- Are directory files purged correctly?

OUTGOING MAIL

Mail Acceptance:

- Are procedures for accepting outgoing mail from customers outlined in 14 FAH-5 H-500 being followed?
- Are customs declarations forms being checked for proper completion?
- Are DPO clerks knowledgeable on verifying outgoing mail (size, weight, postage, special services, customs forms, etc.)?
- Are DPO clerks All Purpose Date Stamping all customer receipts?
- Are customs forms being maintained at the DPO for 30 days?
- Are the Intelligent Mail Barcode (IMB) labels being used in accordance with the Select-Track SOP?

DISPATCHING MAIL:

- Are AV-7s for outgoing mail being prepared in accordance with 14 FAH-5 H-522?
- Are AV-7s being properly prepared for Sac Vides?

- Ensure Sac Vides are sent back as Space Available Mail (SAM).
- Are AV-7 corrections (2734-B) being processed in accordance with 14 FAH-5 H-522?

MAIL SECURITY

- Is mail being screened before entering the compound in accordance with 14 FAH-5 H-600?
- Are DPO personnel preserving and protecting the security of all mail in their custody from unauthorized opening, inspection, reading of contents or covers, tampering, delay, or other unauthorized acts?
- Are DPO personnel familiar with procedures for detention of mail, Mail Reasonably Suspected of Being Dangerous to Persons or Property, Contaminated Mail, mail covers, and reporting procedures associated?
- Are there any such reports on file?
- Were they completed and reported properly?
- Are DPO personnel familiar with postal offenses, and reporting procedures?
- Are there any such reports on file?
- Were they completed and reported properly?

INDEMNITY CLAIMS

- Are DPO personnel familiar with procedures for processing indemnity claims?
- Is a claims log being maintained?
- Are there claims on file?
- Were they properly prepared?
- Were they sent to USPS expeditiously?
- Have there been follow-ups?
- Are there damaged articles from customers awaiting a USPS decision in the DPO?
- Are the Form PS-3831 attached?
- Has there been a follow-up with USPS?

SUPPLIES AND EQUIPMENT

Ordering Postal Supplies and Equipment:

- Are there sufficient postal supplies (forms, slide labels, flight tags, etc.) on-hand?
- If not, has an order been placed?
- Is postal equipment in good working order (All Purpose Date Stamps (APDS), cancellation devices, scales, etc.)?

- Has the DPO set up an account with USPS for ordering postal supplies (customs forms, priority boxes, etc.)?
- Are DPO clerks familiar with the procedure for ordering flight tags in AMPS?

INSPECTIONS:

- Is a copy of last inspection maintained at the DPO?
- Is a copy of the written Postal Officer response to deficiencies discovered during last inspection maintained at the DPO?
- Are there recurring deficiencies from the previous inspection?
- Were they identified as corrected in the response?